FORM D

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

FORM D

2007

NOTICE OF SALE OF SECURITIES PURSUANT TO REGULATION D, **SECTION 4(6), AND/OR**

| OIVID AFF | ROVAL |
|---------------------|--------------|
| OMB Number: | 3235-0076 |
| Expires: | May 31, 2005 |
| Estimated average b | urden |
| hours per response | 1 |

| SEC USE ONLY | | | | | | | |
|---------------|------------|--|--|--|--|--|--|
| Prefix Serial | | | | | | | |
| | | | | | | | |
| DΑ | E RECEIVED | | | | | | |
| | | | | | | | |
| | | | | | | | |

| iling Under (Check box(es) that apply): | | ares II, LP. |
|--------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------|
| _ ` _ ` ` ` ` ` ` ` ` ` ` ` ` ` ` ` ` ` | Rule 504 Rule 505 Amendment | □ Rule 506 □ Section 4(6) □ ULOE |
| | A. BASIC IDENTIFICATION | N DATA |
| . Enter the information requested about t | he issuer | |
| Name of Issuer (check if this is an an Braemar Energy Ventures II, LP. | nendment and name has changed, and indicate | change.) |
| Address of Executive Offices | (Number and Street, City, State, Zip Code) | Telephone Number (Including Area Code) |
| 40 Madison Avenue, 18th Floor, Ne | w York, NY 10017 | 212-697-0900 |
| Address of Principal Business Operations if different from Executive Offices) | (Number and Street, City, State, Zip Code) | Telephone Number (Including Area Code) PROCESSED |
| Brief Description of Business Investing in equity or debt securit | ies of private or, in some cases publicly tr | - 4001 C |
| ype of Business Organization corporation | ☐ limited partnership, already formed | THOMSON OTHER FINANCIAL |
| business trust | ☐ limited partnership, to be formed | |
| Actual or Estimated Date of Incorporation urisdiction of Incorporation or Organizati | Month Y | |
| GENERAL INSTRUCTIONS | | |
| | | |

15 U.S.C. 77d(6).

When to File: A notice must be filed no later than 15 days after the first sale of securities in the offering. A notice is deemed filed with the U.S. Securities and Exchange Commission (SEC) on the earlier of the date it is received by the SEC at the address given below or, if received at that address after the date on which it is due, on the date it was mailed by United States registered or certified mail to that address.

Where to File: U.S. Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549

Copies Required: Five (5) copies of this notice must be filed with the SEC, one of which must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.

Information Required: A new filing must contain all information requested. Amendments need only report the name of the issuer and offering, any changes thereto, the information requested in Part C, and any material changes from the information previously supplied in Parts A and B. Part E and the Appendix need not be filed with the SEC.

Filing Fee: There is no federal filing fee.

This notice shall be used to indicate reliance on the Uniform Limited Offering Exemption (ULOE) for sales of securities in those states that have adopted ULOE and that have adopted this form. Issuers relying on ULOE must file a separate notice with the Securities Administrator in each state where sales are to be, or have been made. If a state requires the payment of a fee as a precondition to the claim for the exemption, a fee in the proper amount shall accompany this form. This notice shall be filed in the appropriate states in accordance with state law. The Appendix to the notice constitutes a part of this notice and must be completed.

ATTENTION-

Failure to file notice in the appropriate states will not result in a loss of the federal exemption. Conversely, failure to file the appropriate federal notice will not result in a loss of an available state exemption unless such exemption is predicated on the filing of a federal notice.

A. BASIC IDENTIFICATION DATA 2. Enter the information requested for the following: · Each promoter of the issuer, if the issuer has been organized within the past five years; Each beneficial owner having the power to vote or dispose, or direct the vote or disposition of, 10% or more of a class of equity securities of the issuer. · Each executive officer and director of corporate issuers and of corporate general and managing partners of partnership issuers; and Each general and managing partner of partnership issuers. ☐ General and/or Beneficial Owner ☐ Executive Officer □ Director Promoter Check Box(es) that Apply: Managing Partner Full Name (Last name first, if individual) Braemar Power and Communications Management II, LP Business or Residence Address (Number and Street, City, State, Zip Code) 340 Madison Avenue, 18th Floor, New York, NY 10017 General Partner of ☐ Executive Officer ☐ Sole Beneficial Owner Check Box(es) that Apply: ☐ Promoter Director of GP Full Name (Last name first, if individual) Braemar Partners, LLC Business or Residence Address (Number and Street, City, State, Zip Code) 340 Madison Avenue, 18th Floor, New York, NY 10017 ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer □ Director Check Box(es) that Apply: of GP of GP Full Name (Last name first, if individual) Suslak, Neil S. Business or Residence Address (Number and Street, City, State, Zip Code) 340 Madison Avenue, 18th Floor, New York, NY 10017 Managing Member Check Box(es) that Apply: □ Promoter ■Beneficial Owner □ Executive Officer ☐ Director of GP of GP Full Name (Last name first, if individual) Lese, William D. Business or Residence Address (Number and Street, City, State, Zip Code) 340 Madison Avenue, 18th Floor, New York, NY 10017 ☐ Beneficial Owner ☐Executive Officer ☐ Director Managing Member Promoter Check Box(es) that Apply: of GP of GP Full Name (Last name first, if individual) Reichenbach, George S. Business or Residence Address (Number and Street, City, State, Zip Code) 340 Madison Avenue, 18th Floor, New York, NY 10017

| . | | | | | | | | | | | | |
|------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------|--------------------------------------------------------|-----------------------------------------------------------|------------------------------------------------------|-------------------------------------------|---------------------------------------------|------------------------------|------------------------------|------------------------------|
| | | | | B. | INFORMA | ATION ABO | OUT OFFE | RING | | | | |
| 1. Has | the issuer s | sold, or doe | | | · | | l investors n 2, if filin | | • | •••••• | Yes . □ | No ⊠ |
| 2. Wh | at is the mir | nimum inve | estment that | nt will be ac | ccepted from | m any indi | vidual? | | | | \$5 | *,000,000 |
| | eneral Parti | - | • | | | | | | | | Yes | No |
| com offe and asso | er the information or ring. If a performation or with a state of the General Performation or the real Performation of the real Performation or the real Performance or the P | similar ren erson to be ate or state ons of such | nuneration listed is a s, list the r a broker o | for solicita n associated name of the or dealer, ye | tion of pure d person or broker or ou may set | chasers in a gent of a dealer. If n forth the in | connection broker or on nore than finformation | with sales lealer regis ve (5) pers | of securition tered with ons to be li | the SEC sted are | | |
| Full Na N/ | ime (Last n A | ame first, i | f individua | 1) | | | | | | | | |
| Busine | ss or Resid | ence Addre | ss (Numbe | er and Stree | t, City, Sta | ite, Zip Co | de) | | | | | |
| Name | of Associate | ed Broker o | or Dealer | | | | = | | | | | |
| | n Which Po eck "All St | | | | | | | | | | | I States |
| [AL] [IL] [MT] [RI] | [AK] [IN] [NE] [SC] | [AZ] [IA] [NV] [SD] | [AR] [KS] [NH] [TN] | [CA] [KY] [NJ] [TX] | [CO] [LA] [NM] [UT] | [CT] [ME] [NY] [VT] | [DE] [MD] [NC] [VA] | [DC] [MA] [ND] [WA] | [FL] [MI] [OH] [WV] | [GA] [MN] [OK] [WI] | [HI] [MS] [OR] [WY] | [ID] [MO] [PA] [PR] |

C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

| Type of Security | Aggregate Offering Price | Amount Already Sold |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| Debt | \$-0- | \$-0- |
| Equity | \$-0- | \$ -0- |
| ☐ Common ☐ Preferred | ** *** | _ |
| Convertible Securities (including warrants) | <u>\$-0-</u> | \$-0- |
| Partnership Interests | \$200,000,000* | \$143,750,000* |
| Other (specify) | \$-0- | \$-0- |
| Total | \$200,000,000* | \$143,750,000* |
| Answer also in Appendix, Column 3, if filing under ULOE. | | |
| dollar amounts of their purchases. For offerings under Rule 504, indicate the nur and the aggregate dollar amount of their purchases on the total lines. Enter "0" if a | | Aggregate Dollar Amount of Purchases |
| P. 11 | 18* | \$143,750,000* |
| Accredited Investors | | |
| Non-accredited Investors | | |
| Non-accredited Investors | -00- sted for all securities sold by the | \$-0- |
| Non-accredited Investors | -00- sted for all securities sold by the of securities in this offering. Cla | \$-0- issuer, to date, sssify securities |
| Non-accredited Investors | -00- sted for all securities sold by the | \$-0- |
| Non-accredited Investors | -00- sted for all securities sold by the of securities in this offering. Cla | \$-0- issuer, to date, ssify securities Dollar Amount |
| Non-accredited Investors | -00- sted for all securities sold by the of securities in this offering. Cla Type of Security | \$-0- issuer, to date, issify securities Dollar Amount Sold |
| Non-accredited Investors | -00- sted for all securities sold by the of securities in this offering. Cla Type of Security | \$-0- issuer, to date, assify securities Dollar Amount Sold \$0 |
| Non-accredited Investors Total (for filings under Rule 504 only) Answer also in Appendix, Column 4, if filing under ULOE. 3. If this filing is for an offering under Rule 504 or 505, enter the information reques in offerings of the types indicated in the twelve (12) months prior to the first sale by type listed in Part C – Question 1. Type of Offering Rule 505 Regulation A | -0- sted for all securities sold by the of securities in this offering. Cla Type of Security | \$-0- issuer, to date, ssify securities Dollar Amount Sold \$0 |
| Non-accredited Investors | -0- sted for all securities sold by the of securities in this offering. Cla Type of Security ion of the securities in this offering this offering the securities in | \$-0- issuer, to date, assify securities Dollar Amount Sold \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 |
| Non-accredited Investors | -0- sted for all securities sold by the of securities in this offering. Cla Type of Security ion of the securities in this offering box to the left of the estimate. | \$-0- issuer, to date, assify securities Dollar Amount Sold \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 |
| Non-accredited Investors Total (for filings under Rule 504 only) | ted for all securities sold by the of securities in this offering. Cla Type of Security ion of the securities in this offering box to the left of the estimate. | \$-0- issuer, to date, sssify securities Dollar Amount Sold \$0 \$0 \$0 \$0 \$0 \$contingencies. |
| Non-accredited Investors Total (for filings under Rule 504 only) Answer also in Appendix, Column 4, if filing under ULOE. 3. If this filing is for an offering under Rule 504 or 505, enter the information reques in offerings of the types indicated in the twelve (12) months prior to the first sale by type listed in Part C – Question 1. Type of Offering Rule 505 Regulation A Rule 504 Total. 4. a. Furnish a statement of all expenses in connection with the issuance and distribut amounts relating solely to organization expenses of the issuer. The information of the amount of an expenditure is not known, furnish an estimate and check the Transfer Agent's Fees | ted for all securities sold by the of securities in this offering. Cla Type of Security ion of the securities in this offering box to the left of the estimate. | \$-0- issuer, to date, issify securities Dollar Amount Sold \$0 \$0 \$0 \$0 \$0 \$0 \$contingencies. |
| Non-accredited Investors Total (for filings under Rule 504 only) Answer also in Appendix, Column 4, if filing under ULOE. 3. If this filing is for an offering under Rule 504 or 505, enter the information reques in offerings of the types indicated in the twelve (12) months prior to the first sale by type listed in Part C – Question 1. Type of Offering Rule 505 Regulation A Rule 504 Total 4. a. Furnish a statement of all expenses in connection with the issuance and distribut amounts relating solely to organization expenses of the issuer. The information of the amount of an expenditure is not known, furnish an estimate and check the Transfer Agent's Fees Printing and Engraving Costs | ted for all securities sold by the of securities in this offering. Cla Type of Security ion of the securities in this offering be given as subject to future box to the left of the estimate. | \$-0- issuer, to date, assify securities Dollar Amount Sold \$0 \$0 \$0 \$0 \$0 \$conting. Exclude a contingencies. \$-0- \$50,000 |
| Non-accredited Investors Total (for filings under Rule 504 only) | ion of the securities in this offermay be given as subject to future box to the left of the estimate. | \$-0- issuer, to date, sssify securities Dollar Amount Sold \$0 \$0 \$0 \$0 \$0 solution Exclude contingencies. \$-0- \$50,000 \$300,000 |
| Non-accredited Investors | ion of the securities in this offering box to the left of the estimate. | \$-0- issuer, to date, assify securities Dollar Amount Sold \$0 \$0 \$0 \$0 solution Exclude contingencies. \$-0- \$50,000 \$300,000 \$40,000 |
| Non-accredited Investors Total (for filings under Rule 504 only) Answer also in Appendix, Column 4, if filing under ULOE. 3. If this filing is for an offering under Rule 504 or 505, enter the information request in offerings of the types indicated in the twelve (12) months prior to the first sale by type listed in Part C – Question 1. Type of Offering Rule 505 Regulation A Rule 504 Total 4. a. Furnish a statement of all expenses in connection with the issuance and distribut amounts relating solely to organization expenses of the issuer. The information of the amount of an expenditure is not known, furnish an estimate and check the Transfer Agent's Fees Printing and Engraving Costs. Legal Fees Accounting Fees. Engineering Fees. | ion of the securities in this offering box to the left of the estimate. | \$-0- issuer, to date, sssify securities Dollar Amount Sold \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 |

| b. | and total expenses furnished in respons | gate offering price given in response to Part $C-Qu$ e to Part $C-Qu$ is the "a | djuste | ed . | \$ 19 | 9,600,000 |
|-------|-------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|-------------------------------------------------------|--------------|-----------------------|
| 5. | each of the purposes shown. If the amo check the box to the left of the estimate | ted proceeds to the issuer used or proposed to be use unt for any purpose is not known, furnish an estima i. The total of the payments listed must equal the ad- response to Part C – Question 4.b above. | ite and | i | | |
| | | | | Payments to Officers, Directors & Affiliates | | Payments To Others |
| | Salaries and fees | | . 🛛 | \$ * | | \$ |
| | Purchase of real estate | | . 🗆 | \$ | | \$ |
| | Purchase, rental or leasing and insta | allation of machinery and equipment | . 🗆 | \$ | | \$ |
| | | ildings and facilities | | | | \$ |
| | offering that may be used in exchar | cluding the value of securities involved in this nge for the assets or securities of another issuer | . 🗆 | \$ | | s |
| | Repayment of indebtedness | . 🗆 | \$ | | \$ | |
| | Working capital | | . 🗆 | <u>s</u> | | \$ |
| | Other (specify): Investment capital | to be used for the issuer's investments | . 🗆 | \$ | \boxtimes | \$-0-** |
| | | | . 🗆 | \$ | | \$ |
| | Column Totals | | . 🛛 | \$. | \boxtimes | \$-0-** |
| | Total Payments Listed (column total | ıls added) | | ⊠ \$ 199 | 9,600,0 | 00** |
| | *The General Partner will receive a advance, equal to 2% of aggregat **Minus the management fee descr | | | _ | | |
| | | D. FEDERAL SIGNATURE | | | | |
| rret. | | | | | | |
| follo | wing signature constitutes an undertakii | signed by the undersigned duly authorized person, ng by the issuer to furnish to the U.S. Securities and I by the issuer to any non-accredited investor pursu: | l Excl | nange Commissio | n, up | on written |
| lssu | er (Print or Type) | Signature | ſ | Date | | |
| | emar Energy Ventures II, LP | WIL | A | ugust <u>/</u> 4, 2007 | | |
| Nan | ne of Signer (Print or Type) | Title of Signer (Print or Type) | | | | |
| | | By: Braemar Power and Communications Mana | | | partn | er of issuer; |
| Will | iam D. Lese | By: Braemar Partners, LLC, general partner of a By: William D. Lese, Managing Director | genera | и раллег; | | |

ATTENTION

Intentional misstatements or omissions of fact constitute federal criminal violations. (See 18 U.S.C. 1001.)

| E. STATE SIGNATURE | | |
|--------------------------------------------------------------------------------------------------------------------|-----|---------|
| Is any party described in 17 CFR 230.262 presently subject to any of the disqualification provisions of such rule? | Yes | No ⊠ |
| See Appendix, Column 5, for state response. | | |

- 2. The undersigned issuer hereby undertakes to furnish to any state administrator of any state in which this notice is filed, a notice on Form D (17 CFR 239.500) at such times as required by state law.
- The undersigned issuer hereby undertakes to furnish to the state administrators, upon written request, information furnished by the issuer to offerees.
- 4. The undersigned issuer represents that the issuer is familiar with the conditions that must be satisfied to be entitled to the Uniform Limited Offering Exemption (ULOE) of the state in which this notice is filed and understands that the issuer claiming the availability of this exemption has the burden of establishing that these conditions have been satisfied.

The issuer has read this notification and knows the contents to be true and has duly caused this notice to be signed on its behalf by the undersigned duly authorized person.

| Issuer (Print or Type) | Signature // 1 | Date |
|--------------------------------|----------------------------------------|--------------------------------------------------|
| Braemar Energy Ventures II, LP | h/h | August <u>14</u> , 2007 |
| Name of Signer (Print or Type) | Title of Signer (Print or Type) | |
| | By: Braemar Power and Communication | ns Management II, LP, general partner of issuer; |
| | By: Braemar Partners, LLC, general par | tner of general partner; |
| William D. Lese | By: William D. Lese, Managing Directo | r |

Instruction:

Print the name and title of the signing representative under his signature for the state portion of this form. One copy of every notice on Form D must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.

APPENDIX

| | | | | | | - | | | |
|-------|-----------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------|-----|------|-----------------------------------------------------------------------------------------------------------------|----|
| 1 | Intend to to accre inves St | 2 I to sell non- edited tors in tateltem 1) | Type of security and aggregate offering price offered in state (Part C-Item 1) | Type of investor and amount purchased in State (Part C-Item 2) | | | | Disqualification under State ULOE (if yes, attach explanation of waiver granted) (Part E-Item 1) | |
| State | Yes | No | | Number of Accredited Investors | Accredited Non-Accredited | | | | No |
| AL | | × | N/A | -0- | -0- | -0- | -0- | | Ø |
| AK | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| AZ | | × | N/A | -0- | -0- | -0- | -0- | | Ø |
| AR | | × | N/A | -0- | -0- | -0- | -0- | | Ø |
| CA | | ⊠ | Limited partnership interests | 1 | \$20,000,000 | -0- | -0- | | ⊠ |
| со | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| СТ | | × | Limited partnership interests | 2 | \$7,000,000 | -0- | -0- | | ⊠ |
| DE | | ⊠ | Limited partnership interests | 2 | \$4,000,000 | -0- | -0- | | Ø |
| DC | | Ø | N/A | -0- | -0- | -0- | -0- | | ☒ |
| FL | | Ø | N/A | -0- | -0- | -0- | -0- | | Ø |
| GA | | ⊠ | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| H! | | × | N/A | -0- | -0- | -0- | -0- | | Ø |
| ID | | × | N/A | -0- | - 0- | -0- | -0- | | Ø |
| IL | | ⊠ | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| IN | | × | N/A | -0- | -0- | -0- | -0- | | Ø |
| ĪA | | × | N/A | -0- | -0- | -0- | -0- | | × |
| KS | | × | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| KY | | ⊠ | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| LA | | × | N/A | -0- | -0- | -0- | -0- | | Ø |
| ME | | Ø | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| MD | | ⊠ | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| МА | | ⊠ | Limited partnership interests | 5 | \$53,750,000 | -0- | -0- | | Ø |
| МІ | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| MN | | × | N/A | -0- | -0- | -0- | -0- | | Ø |
| MS | | Ø | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| МО | | Ø | N/A | -0- | -0- | -0- | -0- | | Ø |
| МТ | | ⊠ | N/A | -0- | -0- | -0- | -()- | | ☒ |



APPENDIX

| 1 | 1 2 3 4 5 | | | | | | | | |
|-------|----------------------------------------|----------------------------------------------|--------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-------------|------------------------------------------------|--------|-----|---------------------------------------------------------|
| | Intend to t accre inves St | to sell non- edited tors in tate | Type of security and aggregate offering price offered in state (Part C-Item 1) | Disqualifica under State U (if yes, att Type of investor and explanatio amount purchased in State waiver grant (Part C-Item 2) (Part E-Item 2) | | Type of investor and amount purchased in State | | | ification ate ULOE attach ation of granted) |
| State | Yes | No | | Number of Accredited Investors | Amount | Number of Non-Accredited Investors | Amount | Yes | No |
| NE | | ⊠ | N/A | -0- | -0- | -0- | -0- ' | | Ø |
| NV | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| NH | | ⊠ | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| NJ | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| NM | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| NY | | Ø | Limited partnership interests | l | \$5,000,000 | -0- | -0- | | Ø |
| NC | | Ø | N/A | -0- | -0- | -0- | -0- | | Ø |
| ND | | Ø | N/A | -0- | -0- | -0- | -0- | | × |
| ОН | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| ОК | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| OR | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| PA | | ⊠ | N/A | -0- | -0- | -0- | -0- | | ☒ |
| RI | | Ø | N/A | -0- | -0- | -0- | -0- | | Ø |
| SC | | Ø | N/A | -0- | -0- | -0- | -0- | | Ø |
| SD | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| TN | 0 | ⊠ | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| TX | | Ø | N/A | -0- | -0- | -0- | -0- | | Ø |
| UT | | ⊠ | N/A | -0- | -0- | -0- | -0- | | ☒ |
| VT | | Ø | N/A | -0- | -0- | -0- | -0- | | Ø |
| VA | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| WA | | ⊠ | N/A | -0- | -0- | -0- | -0- | | Ø |
| wv | | ☒ | N/A | -0- | -0- | -0- | -0- | | |
| WI | | Ø | N/A | -0- | -0- | -0- | -0- | | |
| WY | | Ø | N/A | -0- | -0- | -0- | -0- | | ⊠ |
| PR | | ⊠ | N/A | -0- | -0- | -0- | -0- | | |